



U . S .   D E P A R T M E N T   O F   H O M E L A N D   S E C U R I T Y

*Office of State and Local Government Coordination and Preparedness*

*Office for Domestic Preparedness*

*Fiscal Year 2005  
Competitive Training  
Grants Program*

*Solicitation for Concept Papers*



U.S. DEPARTMENT OF HOMELAND SECURITY

## I. INTRODUCTION

The Office of State and Local Government Coordination and Preparedness (SLGCP), Office for Domestic Preparedness (ODP), is the principal component of the Department of Homeland Security responsible for preparing the United States for acts of terrorism. In carrying out its mission, ODP is the primary office responsible for providing training, funds for the purchase of equipment, support for the planning and execution of exercises, technical assistance and other support to assist state, local, tribal and territorial governments to prevent, plan for and respond to acts of terrorism.

ODP is accepting concept papers for the Fiscal Year 2005 Competitive Training Grants Program. This program will provide funding for training initiatives that further ODP's mission of preparing the nation to prevent, deter, respond to and recover from incidents of terrorism involving weapons of mass destruction (WMD). Applicants should pay careful attention to the new requirement in FY 2006 for aligning training programs with target capabilities (see Section III: Target Capabilities).

**Due Date:** The due date for this concept paper is April 8, 2005, 8:00 p.m. Eastern Standard Time. Invited full proposals will be due on May 16, 2005, 8:00 p.m. Eastern Standard Time. Extensions to the deadlines will not be granted.

**Page Limit:** The Program Narrative section of the concept paper must not exceed 12 double-spaced pages in 12-point font with 1-inch margins. The abstract, table of contents, charts, figures, appendices, and government forms do not count toward the 12-page limit for the narrative section. (Full proposals, for applicants who will be invited to submit them, will be limited to 25 pages.)

**Reasons for Rejection:** ODP will reject applications that are incomplete, do not respond to the national scope of the solicitation, do not comply with format requirements, fail to adequately address the proposal elements or are submitted after the deadline. No additions to the original submission are allowed.

## II. CONCEPT PAPER ISSUE AREAS

Applicants must designate a single issue area under which they would like to be considered for grant funding.

- Training that addresses how to develop, conduct and maintain a government Continuity of Operations Planning (COOP) program.
- Training that strengthens the ability of State and local communities to improve intelligence and operational capabilities for prevention and deterrence of terrorist acts.

- Training that provides the skills necessary to develop self reliant community groups and individual citizens when preparing for, responding to and recovering from an incident of national significance, i.e., Citizen Corps, Community Emergency Response Teams (CERT) and other recognized community-related programs.
- Training to enhance the transit systems' (rail, bus, ferry) capacity to prevent and/or manage the consequences of terrorist attacks.
- Training that develops or augments port facilities' ability to prevent, deter, and/or respond to domestic terrorist acts.
- Training to increase or enhance the capabilities of health care providers for situations involving mass casualty care operations.

### **III. TARGET CAPABILITIES**

Homeland Security Presidential Directive 8 (HSPD-8): National Preparedness, issued December 27, 2003, tasks the Secretary of Homeland Security, in coordination with the heads of other appropriate Federal departments and agencies and in consultation with State and local governments, to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters and other emergencies by: 1) requiring a national domestic preparedness goal; 2) establishing mechanisms for improved delivery of Federal preparedness assistance to State and local governments; and 3) outlining actions to strengthen preparedness capabilities of Federal, State, and local entities. On March 26, 2004, Secretary Ridge charged the Executive Director of DHS/SLGCP with the responsibility to lead HSPD-8 Implementation on behalf of the Department.

As a result of HSPD-8, SLGCP is engaged in a new approach to defining the Nation's preparedness through the development and implementation of target capabilities. Target capabilities are defined as combinations of resources that provide the means to achieve a measurable outcome resulting from performance of one or more critical tasks, under specified conditions and performance standards. A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieve the expected outcome. To date, 36 target capabilities have been identified that address, in their totality, the resources required to prevent, protect against, respond to, and recover from terrorist incidents or other major disasters.

In FY 2006, applicants for competitive training grant funds and/or current ODP training partners will be required to design their training programs to align with one or more of the target capabilities. Training programs must be designed to impart knowledge, skills, and abilities that prepare class participants to perform the capability or capabilities to established performance standards. For purposes of this FY 2005 Competitive Training Grants Program, applicants will only be required to demonstrate how they will design their training to comport

with one or more of the target capabilities. Applicants for FY 2005 CTGP funds must review and be familiar with the target capabilities. A list and explanation of the target capabilities can be found at [www.llis.gov](http://www.llis.gov). Click on "Target Capabilities." Use the following directions to log on to the Lessons Learned Information System (llis.gov):

**To register for LLIS, please complete the following steps:**

1. Click on the following link or cut and paste this URL into your Web browser (preferably Internet Explorer): <https://www.llis.dhs.gov/signup/index.cfm>
2. Complete all required registration fields. For the Organization ID, please enter the number 144.
3. After completing all required fields, click the "Submit" button.

*Shortly after you submit your initial registration information, you will receive an email asking you to verify your email address, which you can do by clicking the link that is embedded in the email. After you have verified your email address, a Lessons Learned Information Sharing administrator will approve your registration within two business days. You will receive an email indicating that your account has been approved. You will not be able to log into LLIS.gov until you have received this approval email.*

## IV. GENERAL REQUIREMENTS AND GUIDANCE

ODP is inviting interested parties to submit a concept paper that captures the essence of a full proposal. The main difference between a concept paper and a proposal is that concept papers are much shorter and do not contain detailed budgets.

The concept paper must clearly demonstrate the applicant's ability to develop and deliver a weapons of mass destruction training program that is national in scope. The program narrative should briefly, but succinctly, identify the problem it will address, provide goals and objectives, and plans to accomplish those objectives, describe the strategies for training significant numbers of public safety personnel using a cross-disciplinary approach, and articulate program performance measures. While the concept paper should not include a detailed budget or management plan, it should include a staffing plan and an estimate of the funding required. Additionally, the program narrative must include an explanation of how the proposal addresses the following elements:

- The ability to build sustainable preparedness at the state and local level;
- A capacity-building component for state and local jurisdictions which includes a leave-behind capability for jurisdictions to employ themselves (e.g. job aids, planning tools, etc.);
- A process for identifying lessons learned and best practices for inclusion in ongoing Department of Homeland Security efforts;
- An adherence to the precepts of Instructional System Design (ISD), and the application of adult learning principles, including problem-based learning;
- Incorporation of a blended learning approach;
- Congruence with the National Preparedness Goal, National Preparedness

Guidance, the National Incident Management System (NIMS), and National Response Plan (NRP), etc.

Peer reviewers will evaluate each concept paper and based on their recommendations, ODP will invite authors of selected concept papers to submit full applications.

**A. Eligibility:**

Entities eligible to receive funding under this program include: state, local, tribal and territorial governments, national associations representing public safety agencies and institutions of higher education, institutions of higher education, private corporations working in conjunction with the nonprofit sector, and nonprofit organizations.

**B. Number and Length of Awards:**

ODP's grant award process is highly competitive. The number of awards will be determined by the number, quality, and requested funding levels of the proposals received, and the total amount of money budgeted by ODP for this solicitation. Awards will have a funding period not to exceed twenty-four months.

**C. Submitting Concept Papers**

Hard copy (paper) version of concept papers will not be accepted. All applications responding to this program announcement must be submitted online through OJP's Grants Management System (GMS) <http://www.ojp.usdoj.gov/fundopps.htm>. GMS can upload most types of documents, including Word, PDF, Excel, and Text. The GMS requires that at least one (1) file be attached to the application before it can be submitted. The user is still required to follow all programmatic guidelines, outlined in the solicitation, on the required files to be attached to the online application in GMS. The concept paper submission requires only one attachment, which is the concept paper itself. If you are chosen to submit a full application, at that time, you will be required to submit a detailed program narrative and a budget that includes *both* a detailed worksheet itemizing all costs and a narrative explaining and justifying each budget item. Should you need assistance with GMS you may call 1-888-549-9901.

The online application must be completed and submitted by the applicant using the GMS system described above. This online application replaces the following previously required paper forms:

- Standard Form 424, Application for Federal Assistance
- Standard Form LLL, Disclosure of Lobbying Activities
- OJP Form 4000/3, Assurances
- OJP form 4061/6, Certifications
- Equipment Coordination Certification
- Non-Supplanting Certification

When completing the online application, the applicants should identify their submission as a new, non-construction application. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "Office for Domestic Preparedness Fiscal Year 2005 Competitive Training Grant Program." When referring to this title, please use the following CFDA number: 97.068.

- D. DUNS number:** Beginning October 1, 2003, a Dun and Bradstreet Data Universal Numbering System (DUNS) number must be included in every application for a new grant or renewal of an award. The DUNS number will be required whether an applicant submits an application through the Office of Justice Programs' Grants Management System or using the government-wide electronic portal (<http://www.grants.gov>). An application will not be considered complete until a valid DUNS number is provided by the applicant. Individuals who would personally receive a grant or cooperative agreement from the Federal government are exempt from this requirement.

Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1-866-705-5711.

**E. Freedom of Information Act (FOIA)**

The ODP recognizes that much of the information submitted in the course of applying for funding under this program, or provided in the course of its grant management activities, may be considered sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information is subject to requests made pursuant to the Freedom of Information Act, 5. U.S.C. §552 (FOIA), all determinations concerning the release of information of this nature are made on a case-by-case basis by the US Department of Homeland Security FOIA Office, and may well likely fall within one or more of the available exemptions under the Act.

Applicants are also encouraged to consult their own state and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process

**F. General Requirements**

**Non-Supplanting Certification:**

This certification, which is a required component of the online application, affirms that federal funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review as well as in the pre-award review, post-award monitoring, and the audit. Applicants or grantees may be required to supply documentation certifying that a reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.

**Match Requirement:**

None

**Assurances:**

The online application includes a list of assurances that the applicant must comply with in order to receive Federal funds under this program. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. You will be agreeing to these assurances when you submit your application online through GMS.

**Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:**

This certification, which is a required component of the online application, commits the applicant to compliance with the certification requirements under 28 CFR Part 69, New Restrictions on Lobbying, and 28 CFR part 67, Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in awarding grants.

The Anti-Lobbying Act, 18 U.S.C. § 1913, recently was amended to expand significantly the restriction on use of appropriated funding for lobbying. This expansion also makes the anti-lobbying restrictions enforceable via large civil penalties, with civil fines between \$10,000 and \$100,000 per each individual occurrence of lobbying activity. These restrictions are in addition to the anti-lobbying and lobbying disclosure restrictions imposed by 31 U.S.C. § 1352. The Office of Management and Budget (OMB) is currently in the process of amending the OMB cost circulars and the common rule (codified at 28 C.F.R. part 69 for grantees) to reflect these modifications. However, in the interest of full disclosure, all applicants must understand that no federally appropriated funding made available under this grant program may be used, either directly or indirectly, to support the enactment, repeal, modification or adoption of any law, regulation, or policy, at any level of government, without the express approval by DHS. Any violation of this prohibition is subject to a minimum \$10,000 fine for each occurrence. This prohibition applies to all activity, even if currently allowed within the parameters of the existing OMB circulars.

**Suspension or Termination of Funding:**

The Office for Domestic Preparedness may suspend or terminate funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to make satisfactory progress toward the goals or objectives set forth in this application;
- Failing to follow grant agreement requirements, standards, or special conditions;

- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
- Failing to submit required reports;
- Filing a false certification in this application or other report or document.

**Copyright:**

Applicants should be aware that ODP will retain an unlimited, nontransferable, irrevocable license to use, or authorize others to use for Federal government purposes, any material produced under this grant.

## **V. SELECTION CRITERIA**

ODP is firmly committed to a competitive process for making the awards. All concept papers and proposals will be subjected to an independent peer-review panel evaluation. Peer-review panelists will be selected from academia, industry, and/or Federal Government organizations, as well as state and local criminal justice and public safety agencies.

Concept papers will be evaluated using the criteria listed below. Following this assessment, ODP will then invite selected applicants to submit full proposals. Full proposals will also be peer reviewed, with ODP staff making recommendations to the SLGCP Director. The Director will make the final award decisions.

Successful applicants must demonstrate the following:

- Understanding of the problem and its importance.
- Goals and objectives, and plans to accomplish those objectives.
- Description of project's strategies that demonstrates a national scope and approach to training significant numbers of public safety personnel using a cross-disciplinary approach. Include a description of proposed or existing partnerships. Program performance measures that will gauge the project's success that includes a plan for what data will be collected, by whom, when, and how it will be analyzed.
- Description of how applicant plans to design its training program to comport with FY 2006 program guidance requiring that training programs fully address one or more of the target capabilities.
- Budget Presentation



## VI. POST AWARD REPORTING REQUIREMENTS

The following reports are required of all program participants:

- **Financial Status Reports (Standard Form 269A):** Financial Status Reports are due within 45 days of the end of each calendar quarter. A report must be submitted for every quarter the award is active (including partial calendar quarters, as well as for periods where no grant activity occurs). The OJP Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund drawdowns will be withheld if these reports are delinquent. The final financial report is due 120 days after the end date of the award period.
- **Categorical Assistance Progress Reports (OJP Form 4587/1):** Categorical Assistance Progress Reports are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. The OJP Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund draw-downs will be withheld if these reports are delinquent. The final programmatic progress report is due 120 days after the end date of the award period. Instructions for completing the Categorical Assistance Progress Report are on the reverse side of the form. A copy of these instructions is also included.
- **Financial and Compliance Audit Report:** Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards and OMB Circular A-133. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Attorney General and the Comptroller General of the United States shall have access to any books, documents and records of recipients of Fiscal Year 2005 Competitive Grant Program Awards for audit and examination purposes, provided that, in the opinion of the Attorney General or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.